Common Biometric Exchange File Format

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Note:
This document is a draft specification of a Common Biometric Exchange File Format. CBEFF is developing this specification in coordination with the X9.84 Working Group and the BioAPI Consortium. This is draft specification and is subject to change.

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Foreword

On February 21st 1999, the Information Technology Laboratory of the National Institute of Standards and Technology (NIST) and the US Biometric Consortium sponsored a Workshop to discuss the potential for reaching industry consensus in a common fingerprint template format. As a result of the discussions at the workshop, the participants agreed to develop a “technology-blind” biometric file format that will facilitate handling different biometric types, versions, and biometric data structures in a common way. The proposed effort does not include standardizing the content of these biometric data structures.

The following principles were generally agreed upon during this workshop:

- There is an advantage of a standard file format to facilitate exchange and inter-operability of biometric data.
- This format should include all modalities of biometrics. It should be "technology-blind". That is, it should not bias, encourage, or discourage any particular vendor or biometric technology from another.
- This format should not attempt to translate among different biometric technologies, but merely to identify them and facilitate their co-existence.

The target audiences are developers of biometric-based systems and applications and users.

The expected benefits of the specification are: (a) reducing the need for additional software development that will identify different and proprietary biometric data structures supporting multiple biometric types within a system or application and (b) cost savings.

To ensure that the specification is in agreement with other biometric industrial efforts, the work is being coordinated with the BioAPI Consortium, the X9.F4 Working group and other standardization activities undertaken by the industry, user organizations and the Biometric Consortium. Several BioAPI Consortium members and X9.F4 members are also participating in the development of this specification.

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CBEFF is being developed in a series of Workshops. To participate in the development participants need to sign a “Participant and/or Contributor’s Agreement”. Copies of the agreement, can be obtained by contacting Fernando Podio, Information Technology Laboratory, NIST, Co-Chair Biometric Consortium, 100 Bureau dr., Stop 8951, Gaithersburg, MD 20899-8951, (301) 975-2947, **(**301) 869-7429 (fax), fernando.podio@nist.gov

Schedule

The first Workshop was held in May 10, 1999 and the second Workshop was held on September 17th, 1999. During the second Workshop, members of the X9.84 Working Group (Biometric Information and Security Standards) gave a presentation that outlined the requirements of the community that they represent. They stated a need for using ASN.1 syntax for describing information specified in the first draft and for encoding the data using standard encoding rules.

The reasons for using ASN.1 are as follows:

- ASN.1 is an international standard. If the CBEFF is to become an ISO/international standard it must use ASN.1.
- X9 requires the use ASN.1 syntax in its specifications. X9 approved standards become National/International standards.
- Users of the technology such as the Banking industry and the Department of Defense have a requirement to follow National/International standards.
- ASN.1 is flexible is and is platform independent.
- ASN.1 has been adopted by many and information processing standards security such as X.509, SET (Visa & Mastercard), Microsoft Active Directory, etc.

The general consensus of the Workshop was to accept the need for the ASN.1 and to rewrite the specification using ASN.1 syntax.

Common Biometric Exchange File Format

1. Purpose

To establish an industry specification that defines a Common Biometric Exchange File Format and associated metadata that will enable interoperability of biometric-based application programs and systems from different vendors. This biometric file format will facilitate handling different types, versions, and technologies of biometric data in a common way. An application will easily recognize what type of biometric is available in the system, what version number, vendor's name, etc. and will be able to point at the proper biometric data. A common biometric file format may consist of a header that contains information such as file length and biometric types, followed by a block of data (data structure) in unspecified format that can pertain to one of any biometric template types and any other required biometric metadata.

The purpose of the specification is: (a) facilitating interoperability between different biometric technologies; (b) providings forward compatibility for technology improvements; and (c) simplifying the software/hardware integration process.

2. Scope

The specification intends to accommodate any biometric technology. The specification intends to include the definition of format and content for data elements such as: (a) a biometric metadata header that would contain such information as version number, length of data, encrypt, etc. for each biometric type available to the application/system; (b) biometric template data (content not specified); and (c) any other required biometric data or metadata structure. The biometric common format will not attempt to translate data among different biometric technologies, but merely will identify them and facilitate their co-existence. Although it is conceivable that industrial or user groups may agree upon common standard formats within the biometric data structures defined as part of this specification, the proposed effort does not include standardizing the content of these biometric data structures**.**

<u>The draft specification defines one record type:</u>

It includes a Standard Biometric Header (SBH) and Biometric Specific Memory Blocks (BSMBs). Each BSMB can include a block header identifying the type of data block and other required information such as the version number, length of data, and the data itself (e.g., data template).

This flexible and expandable file format allows for adapting the implementation to the biometric system or application the developer needs.

An application can use:

- A compliant small file with a minimum description (for small applications or systems that would not require more than a very brief description of the biometric data blocks) or

- A larger file including a larger number of descriptive fields and data structures as required by that application.

3. Conformance

Biometric data can comply with two different formats within this specification. The use of the specified format may have restrictions on its intended use. The "level" of conformance will be used to specify the intended use of the data that claims compliance with this specification.

3.1 Level 1 Conformance

Level 1 is intended for those systems that utilize biometric data locally. These systems can use Format A for data storage or for exchange between a local client and server. Format A, the CBEFF Local Data Structure is defined in 7.2.

3.2 Level 2 Conformance

Level 2 Conformance is intended for those systems that require a data exchange format and/or to provide encryption and signature services on the biometric data during the exchange between systems. This level is in conformance with the X9.84 standard (Format B) for data transfers between systems. These systems can use Format B for data exchange and translate the data into Format A for storage. Format A does allow for (local) signatures and encryption to prevent database corruption. Format B, the CBEFF Transfer Syntax Using ANS.1 is defined in 7.3.

3.3 Level 3 Conformance

Level 3 Conformance is intended for those systems that require a data exchange format, encryption and signature services for the biometric data during exchange and storage. This level is in conformance with the X9.84 standard (Format B). These systems use Format B exclusively.

Note: if the system has other protection mechanisms to provide for the data integrity and confidentiality which meet X9.84 requirements then Level 3 conformance may not be required by the system.

4. References

– ITU-T Recommendation X.680 (1997) | ISO/IEC 8824-1:1998, *Information technology – Abstract Syntax Notation One (ASN.1): Specification of basic notation.*

– ITU-T Recommendation X.681 (1997) | ISO/IEC 8824-2:1998, *Information technology – Abstract Syntax Notation One (ASN.1): Information object specification.*\

– ITU-T Recommendation X.682 (1997) | ISO/IEC 8824-3:1998, Information technology – Abstract Syntax Notation One (ASN.1): Constraint specification.

– ITU-T Recommendation X.683 (1997) | ISO/IEC 8824-4:1998, *Information technology – Abstract Syntax Notation One (ASN.1): Parameterization of ASN.1 specifications*

– ITU-T Recommendation X.690 (1997) | ISO/IEC 8825-1:1998, *Information Technology – ASN.1 encoding rules: Specification of Basic Encoding Rules (BER), Canonical Encoding Rules (CER) and Distinguished Encoding Rules (DER).*

– ITU-T Final Draft Amendment 1 to Recommendation X.690 (1999) | ISO/IEC 8825-1:2000, *Information Technology – ASN.1 encoding rules: Specification of Basic Encoding: Final Draft Amendment 1: Relative Object Identifiers*

– ITU-T Recommendation X.691 (1997) | ISO/IEC 8825-2:1998, Information technology – ASN.1 encoding rules: Specification of Packed Encoding Rules (PER).

– ISO/IEC 9594-8:1997 (1997) | ISO/IEC 9594-8:1997 *Information technology — Open Systems Interconnection — The Directory: Authentication Framework.*

– RSA Laboratories. *PKCS #7: Cryptographic Message Syntax Standard.* Version 1.5, November 1993

– ANSI, *X9.73-1999:* Cryptographic Message Syntax

5. Definitions

AlgorithmIdentifier: An ASN.1 type that identifies an algorithm (by an object identifier) and any associated parameters. This type is defined in [ISO/IEC 8825].

ASN.1: Abstract Syntax Notation One, as defined in [ISO/IEC 8825].

Attribute: An ASN.1 type that identifies an attribute type (by an object identifier) and an associated attribute value. The ASN.1 type **Attribute** is defined in [ISO/IEC 8825].

BSMB – Biometric Specific Memory Block

Certificate: A digitally signed data unit binding a public key to identity information. A specific format for certificates is defined in [*ISO/IEC 9594-8*].

DER: Distinguished Encoding Rules, as defined in [ISO/IEC 8825]

Object Identifier: A sequence of integers that uniquely identifies an associated data object in a global name space administrated by a hierarchy of naming authorities. This is a primitive data type in ASN.1.

Protocol Data Unit (PDU): A sequence of bits in machine-independent format constituting a message in a protocol.

Relative Object Identifier: A proposed ASN.1 type which makes it possible to transmit a Object Identifier value in a more compact form by transmitting only their trailing arcs when the leading arcs can be determined based upon the context of use.

SBH – Standard Biometric Header

6. Abbreviations, Notation, and Acronyms

ANS.1 – Abstract Syntax Notation One.
BSMB – Biometric Specific Memory Block
DER- Distinguished Encoding Rules
OID - Object Identifier
PDU - Protocol Data Unit
[…] – Used to denote a variable length, typically depending upon details of the implementation.
IBIA - International Biometric Industry Association. The IBIA has agreed to be the registration authority for all Object Identifiers and Relative Object Identifiers related to this specification.
SBH – Standard Biometric Header

7. Data Descriptions

The data descriptions defined in this document must be able to handle a wide variety of applications. Many current systems, which are using biometric verification, have limited storage media such as barcode, magstripe, and older smart cards. These applications require a data structure with minimum overhead.

Many newer systems are being developed which require a complex structure to incorporate enhanced features such as individual thresholding and reduction of false rejections. The new systems may also require compliance with an international data syntax such as Abstract Syntax Notation One (ASN.1) and require a standardized encoding scheme such as the Distinguished Encoding Rules (DER).

The data structure within this specification is designed to accommodate these two extremes and intermediate solutions.

In order to achieve these requirements, the specified data structure shall have the following qualities:

- One of the data descriptions must be encoded using a internationally accepted encoding scheme (i.e. ASN.1)
- There must be a bare minimum data description that contains only the information necessary to process biometric data (i.e. Minimize the overhead for those applications that don't need it).
- The Biometric Data type within the data descriptions must be uniquely identified (to identify which algorithm(s) need to perform the matching).
- Allow for current standards bodies to have flexibility to define data within the data descriptions (e.g., The BioAPI Consortium).
- Allow for future expandability via a registration process.

The data descriptions that will incorporate these requirements are as follows:

SBH – Standard Biometric Header
BSMB – Biometric Specific Memory Block

The data descriptions will be presented in two different formats: Format A which will be described in 7.2 in terms of a Data structure and Format B which be described in 7.3 via an ASN.1 description. The are a core set of fields required in order to translate between those formats. The core fields will be presented in the following section.

7.1 Core Field Description

This section is contains the fields require in all CBEFF formats. They are required in order to translate between formats. It is also an attempt to explain the fields contained within the data description, without the use of ASN.1 syntax.

When encoding a field with Distinguished Encoding Rules (DER) an identifier and length are placed in front the content (the Data). The identifier byte can include information, such as a choice. Note that DER encoding includes length information, therefore the following description will NOT include separate length fields.

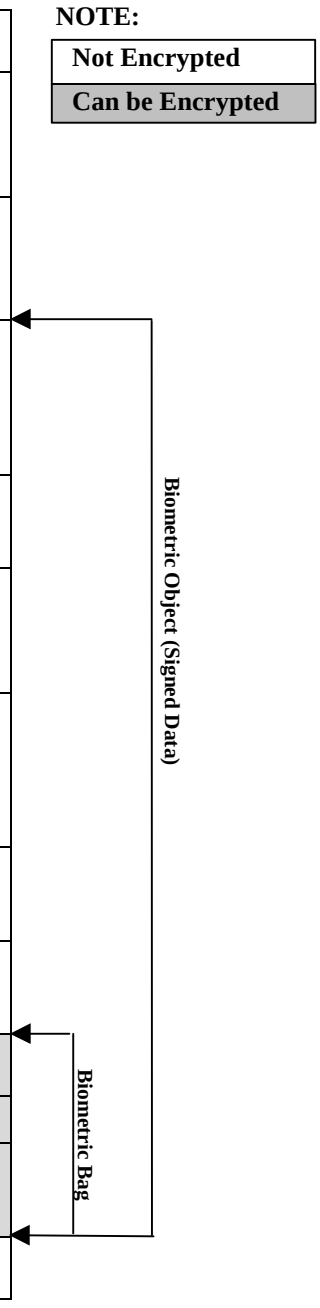
There will be an attempt to illustrate the typical overhead DER brings, because there is a concern about keeping the data structure as small as possible. For this section, the overhead will be defined as the typical length (in bytes) of the DER identifier and length. The overhead is typical, not definite, since DER encoding rules can use different number of bytes to express the length dependant upon the length of data and the method used to encode the length.

7.1.1 Standard Biometric Header (SBH)

The Standard Biometric Header has the fields illustrated in Table 1. The Field name is the ASN.1 label of the given field. The Overhead bytes are the typical number of bytes to represent the DER identifier and length (when it is DER encoded in accordance with section 7.3).

Table 1 - Standard Biometric Header

Field Name	Overhead (bytes)	Notes
SBH Options	3	00 = plain Biometric 01 = with Integrity 02 = with Privacy 03 = with Privacy and Integrity
Integrity Options	0 or 3	00 = Signed 01 = Maced This field only exists if Integrity is used (i.e. SBH Options=1 or 3).
Header Version	0 or 3	Version of header, should be the version of this specification. Currently set to 00 (the default). This field doesn't exist if the default is used (i.e. overhead=0).
Record Type	3	Optional, See following definition. This field doesn't exist if it isn't used.
Record Data Type	0 or *3	See following definition. Currently set to 00 (Processed, the default). This field doesn't exist if the default is used (i.e. overhead=0).
Record Purpose	0 or 3	See following definition. Currently set to 00 (ENROLL_VERIFY, the default). This field doesn't exist if the default is used (i.e. overhead=0).
Record Data Quality	3	Optional, See following definition. This field doesn't exist if it isn't used.
Creation Date	0 or 3+[…]	Optional, See following definition. This field doesn't exist if it isn't used.
Format Owner	3	Id of the Group or Vendor which defined the BSMB
Format Type	3	Type as specified by the Owner
Biometric Specific Memory Block (BSMB)	3+[…]	Defined by the Format Owner
Signature	0 or 4+[…]	Only present if the SBH choice is 01 or 03



SBH Options: This field is used to determine if the file is to have data integrity, encryption, or both. If integrity or integrity and encryption is used, then the integrity field will exist. If encryption or integrity and encryption is used, then the integrity field will exist

Field Value Name	Type Value
None	0
With Integrity	1
With Privacy (Encryption)	2
With Integrity and Encrption	3

Integrity Options: This field is used to determine if a Signature or Message Authentication Code (MAC) is used. A 0 will imply that the data following this field is signed. A 1 will imply the data following this field uses MAC. This field will only be present if the choice specified in the SBH options is 1 or 3.

Field Value Name	Type Value
Signed	0
MAC	1
None	2

Header Version: This typically 1 byte field allows for future revisions to this specification. Any implementation that wants to be compliant to this version of the specification will set this field to 00. When the default is used, this field is NOT present.

Record Type: This optional field defines the type of biometric this file contains. The currently defined types are as follows:

Field Value Name	Biometric Type Value
Body Odor	1
DNA	2
Ear Shape	3
Facial Features	4
Finger Image	5
Finger Geometry	6
Hand Geometry	7
Iris Feature	8
Keystroke Dynamics	9
Palm	10
Retina	11
Signature	12
Speech Pattern	13
Thermal Image	14
Vein Pattern	15

This List can be expanded in future revisions of the specification.

Record Data Type: This optional field further defines the type of data being placed in the file. The current definition is as follows:

Field Value Name	Type Value
Raw	1
Intermediate	2
Processed	3

The default value of this field will be processed (3).

Record Purpose: This optional fields denotes the intended use if the data. The field is defined as follows:

Field Value Name	Type Value
Verify	1
Identify	2
Enroll-Verify	3
Enroll-Identify	4
Enroll-Update	5

Record Data Quality: This optional field denotes the quality of the data. The values are in the range 0 through 100, where 100 is the highest quality. A value of –1 indicates that quality was not set, and a value of –2 indicates that quality is not supported by the entity which created the SBH. The default value is –2.

Creation Date: This optional field denotes the date and time that the biometric data was taken.

Biometric Bag (Encryption Options): This field is used to denote that the Biometric Bag is either encrypted or non-encrypted. A value of 00 indicates that the Biometric Bag is NOT encrypted. The value of 01 denotes that the Biometric Bag is encrypted and formatted in accordance with the EncryptedData description found within PKCS7. If 01 is chosen, the data resulting from the decryption process has the same format as the Clear Text.

Format Owner: This field denotes the Vendor or Group that has defined the format of the Biometric Information and Biometric Data. The currently defined Format Owners are:

Field Value Name	Type Value
None	0
BioApi	1
X9.84	2

New Format Owners can register with the IBIA for additional identifiers. Refer to section 7.6 for information about Registration.

Format Type: This field is defined by the Vendor or Group specified in the Vendor or Group name field. The currently defined Format Types are:

Field Value Name	Type Value
None(Unformatted/Raw Data)	0

New Format Types can register with the IBIA for additional identifiers. Refer to section 7.6 for information about Registration.

The Biometric Specific Memory Block (BSMB): This contains the biometric data. The Vendor or Group can place a biometric template directly into this field, or it can specify a format for the data with further parameters, information, and data**.** The BioAPI example in Appendix C is an example of this data can be formatted to contain further information.

Signature: This field holds the Signature or MAC data. This can contain Algorithm Identifier information and/or any parameters need to perform the Signature and/or MAC function. This field exists only if the CBEFF choice is 0 or 1.

7.1.2 Biometric Specific Memory Block (BSMB)

This is simply a block of memory that can be specified in any way by the owner of the type as specified in the **Vendor or Group Name** field of the SBH. Therefore, this can be a proprietary format or one agreed to by a group.

BSMB field format may not need any specification, there is likely to be a format analogous to the header/data format of most data storage structures. In this way, a vendor who "owns" this format can specify information in a header including version information, etc. Furthermore, it is conceivable, or likely, that groups may agree upon common standard formats within this BSMB level. In either case, the fields of BSMB can be specified by a vendor or group.

- **BSMB header** - may contain such information as version number, length of data, encryption info, etc.
- **BSMB template data** - block of memory containing template data.

7.2 Format A: The CBEFF Local Data Structure

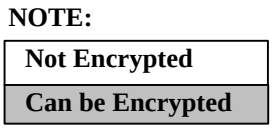
Format A is intended for local storage and possibly as data exchange between a client and a Server. This format implies that default mechanisms are used for the signature and/or encryption (There is not enough information to process a signature or encryption process without assuming default values which are generally passed with signed/encrypted data). Therefore this Format is NOT intended to be passed between systems, it is intended for the local system only.

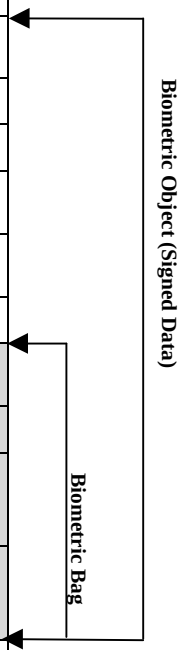
7.2.1 Standard Biometric Header (SBH)

The Standard Biometric Header has the fields illustrated in Table 2. The length column is the number of bytes used to represent this field. Refer to section 7.1 for the description of the fields.

Table 1 - Standard Biometric Header

Field Name	Length	Notes
SBH Options	1	Described in section 7.1
Integrity Options	1	Described in section 7.1
Header Version	2	Described in section 7.1
Record Type	2	Described in section 7.1
Record Data Type	2	Described in section 7.1
Record Data Purpose	2	Described in section 7.1
Record Data Quality	2	Described in section 7.1
Creation Date	6	See Below
Format Owner	2	Id of the Group or Vendor which defined the BSMB
Format Type	2	Type as specified by the Owner
Biometric Specific Memory Block (BSMB) Length	4	Length (in bytes) of the BSMB
Biometric Specific Memory Block Data (BSMB)	[…]	Defined by the Format Owner
Signature or MAC	0 or […]	Described in section 7.1





Most fields are a fixed length. The core fields are described in section 7.1. The BSMB length field has been added to specify the length of the BSMB. The Signature field immediately follows the last byte of the BSMB.

The Creation Date will be in the following format:
YYYY-MM-DD-HH-MM
Each letter represents a hexidecimal character (4 bits).

7.3 Format B: The CBEFF Transfer Syntax using ANS.1

This section is intended to give an overview of the syntax used to describe the data when it is to be used for transfer between systems. This format can be used to store the data locally. For a complete ASN.1 description refer to Appendix A.

ASN.1 Defines data in terms of **Protocol Data Units (PDUs).** Each PDU includes an Identifier (tag), Length, and Content (data value). The Value can contain other PDUs (i.e. PDUs can be nested). The Following is a set of definitions for the PDUs used for the Common Biometric File Format. For details on the syntax used to describe these PDUs, refer to [*ISO/IEC 8825-1*].

The following is to be encoded using Distinguished Encoding Rules (DER).

7.3.1 Standard Biometric Header (SBH) Options

The SBH structure can be signed or unsigned. If the signed option is chosen then the Algorithm Identifier and Signature PDUS will be appended. If the data is encrypted then data is ecrypted as specified in X9.73.

```
SBH Options::= CHOICE {
        biometricObject         BiometricObject,
        integrity               Integrity,
        privacy                 Privacy,
        privacyAndIntegrity     privacyAndIntegrity
        }


Integrity ::= CHOICE {
        signature  SIGNED { EncodedBiometricObject },
        mac        MACED { EncodedBiometricObject }
        }

EncodedBiometricObject ::= BIOMETRIC.&Type( BiometricObject )

Privacy ::= SEQUENCE {
  biometricHeader  BiometricHeader,
  encryptedData    EncryptedData
}

PrivacyAndIntegrity ::= SEQUENCE {
  integrity      Integrity,
  encryptedData  EncryptedData
}
EncryptedData ::= SEQUENCE {}

EncryptionAlgorithms ALGORITHM ::= {
  ...  -- any X9 approved encryption algorithm --
}

AlgorithmIdentifier { ALGORITHM:IOSet } ::= SEQUENCE {
  algorithm   ALGORITHM.&id( {IOSet} ),
  parameters  ALGORITHM.&Type( {IOSet}{@algorithm} )  OPTIONAL
}
```

7.3.1.1 The Biometric Object

The Biometric Object contains the information that can be signed. It holds the version of the PDU, the vendors identifier, processing information and the Biometric data.

```
BiometricObject ::= SEQUENCE {
  biometricHeader  BiometricHeader,
  biometricData    BiometricData
}

BiometricHeader ::= SEQUENCE {
  version       INTEGER { hv1(0) } (0..MAX)  DEFAULT hv1,
  recordType    INTEGER (0..MAX)  OPTIONAL,
  dataType      DataType  OPTIONAL,
  purpose       Purpose  OPTIONAL,
  quality       Quality  OPTIONAL,
  creationDate  GeneralizedTime  OPTIONAL,
  objectType    ObjectType,
  formatOwner   BIOMETRIC.&name({Owner}),
  formatType    BIOMETRIC.&Type({Owner}{@formatOwner})  OPTIONAL
}

BiometricData ::= OCTET STRING(SIZE(1..MAX))
```

7.3.1.1.1 Record Type

The Object type refers to the biometric technology for which this Biometric file is used by. This optional field currently has the following technologies defined:

```
ObjectType ::= BIOMETRIC.&name( {BiometricTypes} )

BiometricTypes BIOMETRIC ::= {
  { BIOMETRIC id : body-Odor              } |
  { BIOMETRIC id : dna                    } |
  { BIOMETRIC id : ear-Shape              } |
  { BIOMETRIC id : facial-Features        } |
  { BIOMETRIC id : finger-Image           } |
  { BIOMETRIC id : finger-Geometry        } |
  { BIOMETRIC id : hand-Geometry          } |
  { BIOMETRIC id : iris-Features          } |
  { BIOMETRIC id : keystroke-Dynamics } |
  { BIOMETRIC id : palm                   } |
  { BIOMETRIC id : retina                 } |
  { BIOMETRIC id : signature              } |
  { BIOMETRIC id : speach-Pattern         } |
  { BIOMETRIC id : thermal-Image          } |
  { BIOMETRIC id : vein-Pattern           },

  ...  -- expect additional biometric types --
}
```

Where the BIOMTRIC id has the following (Relative OID) value:

-- Biometric technologies

```
body-Odor              RELATIVE-OID ::= { bodyOdor(1) }
dna                    RELATIVE-OID ::= { dna(2) }
ear-Shape              RELATIVE-OID ::= { earShape(3) }
facial-Features        RELATIVE-OID ::= { facialFeatures(4) }
finger-Image           RELATIVE-OID ::= { fingerImage(5) }
finger-GeometryRELATIVE-OID ::= { fingerGeometry(6) }
hand-Geometry  RELATIVE-OID ::= { handGeometry(7) }
iris-Features          RELATIVE-OID ::= { irisFeatures(8) }
keystroke-Dynamics     RELATIVE-OID ::= { keystrokeDynamics(9) }
palm                   RELATIVE-OID ::= { palm(10) }
retina                 RELATIVE-OID ::= { retina(11) }
signature              RELATIVE-OID ::= { signature(12) }
speach-Pattern   RELATIVE-OID ::= { speachPattern(13) }
thermal-Image          RELATIVE-OID ::= { thermalImage(14) }
vein-Pattern           RELATIVE-OID ::= { veinPattern(15) }
```

7.3.1.1.2 Record Data Type:

This optional field further defines the type of data being placed in the file. The current definition is as follows

```
BiometricDataType ::=CHOICE {
                                    raw          [1] Raw,
                                    intermediate [2] Intermediate,
                                    processed    [3] Processed
                                    }
```

7.3.1.1.3 Record Purpose:

This optional field further defines the type of data being placed in the file. The current definition is as follows

```
Purpose ::= ENUMERATED {
                                      verify       (1),
                                      identify     (2),
                                      enrollVerify (3),
                                      enrollIdentity (4),
                                      update       (5)
                                    }
```

7.3.1.1.4 Record Quality:

This optional field further defines the quality of data being placed in the file. The current definition is as follows

```
Quality ::= INTEGER {
  lowest      (  0),
  highest     (100),
  notSet      ( -1),
  notSupported ( -2)
} (-2..100,...)
```

Where –2 and –1 have predefined values (refer to section 7.1.1for details).

7.3.1.1.5 Header Version

The default and current version is 0. This field represents the version of this specification that this Biometric Object conforms to. Under DER encoding rules, this field is not present if the default is used.

7.3.1.1.6 The Biometric Bag

The Biometric Bag is intended to contain the biometric template information about how to process it. The first piece of processing information determines if the rest of the data has been encrypted. This is accomplished with the following definition:

```
BiometricBag ::= CHOICE {
  cleartext    [0] Cleartext,
  encrypted  [1] EncryptedData   -- X9.73 (RSA PKCS #7) cryptographic type
}
```

If the data is encrypted then the data is to be decrypted using the data structure defined by PKCS#7 (EncryptedData). The data recovered from the decryption process has the same format as the Cleartext.

```
-- When the "encrypted" choice alternative of "BiometricBag" is used,
-- the "encryptedContent" component of type "EncryptedData" contains
-- the result of encrypting the DER (encoded) representation of a
-- value of type "Cleartext", using an X9 approved algorithm.

EncodedCleartext ::= BIOMETRIC.&Type( Cleartext )
```

The Cleartext has the following definition:

```
Cleartext ::= SEQUENCE {
  formatOwner  BIOMETRIC.&name({Owner}),
  formatType    [0] BIOMETRIC.&Type({Owner}{@formatOwner})  OPTIONAL,
  bsmb           BSMB  -- Biometric specific memory block
}
```

7.3.1.1.6.1 Format Owner

The Format Owner is specifies the Vendor or Group which defined the underlying biometric data. The field must be represented in a compact form, as to not take an unnecessary amount of overhead bytes in order to obtain a unique id. In order to accomplish this, a BIOMETRIC CLASS is defined to contain a name which will be unique:

```
-- Biometrics information object class

BIOMETRIC ::= CLASS {
  &name          BIOMETRIC-IDENTIFIER  UNIQUE,
  &Type          OPTIONAL
}
  WITH SYNTAX { BIOMETRIC &name [ DATA &Type ] }
```

The name field can be the following BIOMETRIC-IDENTIFIER:

```
BIOMETRIC-IDENTIFIER ::= CHOICE {
  oid  OBJECT IDENTIFIER,      -- complete object identifier
  id   RELATIVE-OID            -- object identifier fragment
}
```

Where the data can be a full Object Identifier or a more compact Relative OID. The Relative OID unique number assigned by the organization maintaining the list (currently assumed to be the IBIA.). The “starting node” of the Relative OID is defined as follows:

```
biometric  OBJECT IDENTIFIER ::= { x9-84 biometrics(1) }
```

This starting node can be used to maintain a "list" of Relative IDs which will be managed by the Controlling Authority (i.e. the IBIA). The initial list will include No Format, The BioAPI, and X9.84.

7.3.1.1.6.2 Format Type

The Format Type specifies the type of biometric data which is to be found within the Biometric Specific Memory Block (BSMB). This field must be represented in a compact form, as to not take an unnecessary amount of overhead bytes in order to obtain a unique id. In order to accomplish this, the RELATIVE-OID will be used in the same manner as the Format Owner as specified in section 7.3.1.1.6.1 .

This starting node can be used to maintain a second "list" of Relative IDs which will be managed by the Controlling Authority (i.e. the IBIA).

7.3.2 Biometric Specific Memory Block (BSMB)

This is simply a block of memory. It is defined simply as follows:

-- Biometric specific memory block

BSMB ::= OCTET STRING(SIZE(1..MAX))

This data can be further formatted. The Format Owner and Format Type specify the details of the data within this block. See appendix C and apendix D for examples of BSMB data formats.

7.4 The BioAPI Specification Version .1 BSMB Format

The BioAPI Steering Committee has released the data structure specified in the BioAPI Specification Version 0.1 as a contribution to the Common Biometric Exchange File Format effort. BioAPI Consortium members can participate in the development of the Common Biometric Exchange File Format. It is anticipated that the BioAPI will create a BSMB compliant with this specification. Refer to Appendix C of this specification for further detail.

7.5 The X9.84 Specification Version .1 BSMB header Extension

X9.84 is the standards committee chartered to define Biometric Information Management and Security. The BSMB defined in Appendix D is meant to illustrate a possible definition for the biometric data that will help meet their security requirements. Refer the X9.84 standards, when they are available.

7.6 Format Owner and Format Type Registration

Format Owners and Format Types need to be registered by a recognized standards body. The International Biometric Industry Association (IBIA) has agreed to be the organization which will manage the registration, issuance, and archiving of the OBJECT IDENTIFIERs and relative OBJECT IDENTIFIERs for Organizations and Vendors which require them. It is envisioned that the IBIA will set up a web based support site, including the registration and retrieval of assigned identifiers. Details of this process are TBD.

8. Summary

A framework is shown here for a common biometric exchange file format. The Standard Biometric Header defined in this document can be used by a wide variety of applications and can be expanded as needed within the conformance requirements of this specification.

APPENDIX A: The CBEFF ASN.1 Module

A. THE CBEFF ASN.1 Module

```
X9-84-Biometrics {
  iso(1) identified-organization(3) tc68(133) country(16) x9(840)
    x9Standards(9) x9-84(84) module(0) biometrics(1) }
  DEFINITIONS AUTOMATIC TAGS ::= BEGIN

-- EXPORTS All;

-- IMPORTS None;


BiometricSyntax ::= CHOICE {
  biometricObject     BiometricObject,
  integrity           Integrity,
  privacy             Privacy,
  privacyAndIntegrity  PrivacyAndIntegrity
}

BiometricObject ::= SEQUENCE {
  biometricHeader  BiometricHeader,
  biometricData    BiometricData
}

Integrity ::= CHOICE {
  signature  SIGNED { EncodedBiometricObject },
  mac        MACED { EncodedBiometricObject }
}

EncodedBiometricObject ::= BIOMETRIC.&Type( BiometricObject )

Privacy ::= SEQUENCE {
  biometricHeader  BiometricHeader,
  encryptedData    EncryptedData
}

PrivacyAndIntegrity ::= SEQUENCE {
  integrity      Integrity,
  encryptedData  EncryptedData
}

BiometricHeader ::= SEQUENCE {
  version       INTEGER { hv1(0) } (0..MAX)  DEFAULT hv1,
  recordType    INTEGER (0..MAX)  OPTIONAL,
  dataType      DataType  OPTIONAL,
  purpose       Purpose  OPTIONAL,
  quality       Quality  OPTIONAL,
  creationDate  GeneralizedTime  OPTIONAL,
  objectType    ObjectType,
  formatOwner   BIOMETRIC.&name({Owner}),
  formatType    BIOMETRIC.&Type({Owner}{@formatOwner})  OPTIONAL
}

DataType ::= ENUMERATED {
```

```
  raw         (0),
  intermediate (1),
  processed    (2)
}

Purpose ::= ENUMERATED {
  verify         (1),
  identify       (2),
  enrollVerify    (3),
  enrollIdentity  (4),
  update         (5)
}

Quality ::= INTEGER {
  lowest      (  0),
  highest     (100),
  notSet      ( -1),
  notSupported ( -2)
} (-2..100,...)

ObjectType ::= BIOMETRIC.&name( {BiometricTypes} )

BiometricTypes BIOMETRIC ::= {
  { BIOMETRIC id : body-Odor       } |
  { BIOMETRIC id : dna                    } |
  { BIOMETRIC id : ear-Shape       } |
  { BIOMETRIC id : facial-Features    } |
  { BIOMETRIC id : finger-Image      } |
  { BIOMETRIC id : finger-Geometry    } |
  { BIOMETRIC id : hand-Geometry     } |
  { BIOMETRIC id : iris-Features     } |
  { BIOMETRIC id : keystroke-Dynamics } |
  { BIOMETRIC id : palm              } |
  { BIOMETRIC id : retina            } |
  { BIOMETRIC id : signature         } |
  { BIOMETRIC id : speach-Pattern     } |
  { BIOMETRIC id : vein-Pattern      },

  ...  -- expect additional biometric types --
}

-- A vendor specific identifier may be a relative object identifier defined under the
-- base "BiometricTypes" (a subtype), or a vendor or group object identifier.

Owner BIOMETRIC ::= {
  { BIOMETRIC id : x984BioInfo  DATA BiometricInfo } |
  { BIOMETRIC id : generalInfo  DATA OCTET STRING  },

  ...  -- expect additional vendor specific formats --
}

x984BioInfo       RELATIVE-OID ::= { x984BioInfo(0) }
generalInfo       RELATIVE-OID ::= { generalInfo(1) }

-- Authentication Information (AI)
```

```
BiometricInfo ::= SEQUENCE SIZE(1..MAX) OF BioInformation

BioInformation ::= SEQUENCE {
  processingInfo  [0] ProcessingInfo  OPTIONAL,
  matchingInfo    [1] MatchingInfo  OPTIONAL
}  --
  -- At least one component of BioInformation shall be present.
  --
  ( WITH COMPONENTS { ..., processingInfo PRESENT } |
    WITH COMPONENTS { ..., matchingInfo PRESENT } )

-- Biometric processing algorithms

ProcessingInfo ::= SEQUENCE SIZE(1..MAX) OF ProcessingInformation

ProcessingInformation ::= SEQUENCE {
  id          BIOMETRIC.&name({ProcessingAIDs}),
  parms  BIOMETRIC.&Type({ProcessingAIDs}{@id})  OPTIONAL
}

ProcessingAIDs BIOMETRIC ::= { ... }

-- Biometric processing algorithm object identifier

processing-algorithm  OBJECT IDENTIFIER ::= { x9-84 processingAlgorithms(2) }

-- Biometric matching methods

MatchingInfo ::= SEQUENCE SIZE(1..MAX) OF MatchingInformation

MatchingInformation ::= SEQUENCE {
  id         BIOMETRIC.&name({MatchingAIDs}),
  parms  BIOMETRIC.&Type({MatchingAIDs}{@id})  OPTIONAL
}

MatchingAIDs BIOMETRIC ::= { ... }

-- Biometric matching method object identifier

matching-method  OBJECT IDENTIFIER ::= { x9-84 matchingMethods(3) }

BiometricData ::= OCTET STRING(SIZE(1..MAX))

-- Biometric information object identifier

x9standard OBJECT IDENTIFIER ::= {
  iso(1) identified-organization(3) tc68(133) country(16) x9(840) x9Standards(9) }

x9-84  OBJECT IDENTIFIER ::= { x9standard x9-84(84) }




-- Biometrics information object class
```

```
BIOMETRIC ::= CLASS {
  &name  BIOMETRIC-IDENTIFIER  UNIQUE,
  &Type  OPTIONAL
}
  WITH SYNTAX { BIOMETRIC &name [ DATA &Type ] }

BIOMETRIC-IDENTIFIER ::= CHOICE {
  oid  OBJECT IDENTIFIER,  -- complete object identifier
  id   RELATIVE-OID        -- object identifier fragment
}

-- Biometric technologies

body-Odor          RELATIVE-OID ::= { bodyOdor(1) }
dna                RELATIVE-OID ::= { dna(2) }
ear-Shape          RELATIVE-OID ::= { earShape(3) }
facial-Features    RELATIVE-OID ::= { facialFeatures(4) }
finger-Image       RELATIVE-OID ::= { fingerImage(5) }
finger-Geometry    RELATIVE-OID ::= { fingerGeometry(6) }
hand-Geometry      RELATIVE-OID ::= { handGeometry(7) }
iris-Features      RELATIVE-OID ::= { irisFeatures(8) }
keystroke-Dynamics RELATIVE-OID ::= { keystrokeDynamics(9) }
palm               RELATIVE-OID ::= { palm(10) }
retina             RELATIVE-OID ::= { retina(11) }
signature          RELATIVE-OID ::= { signature(12) }
speach-Pattern     RELATIVE-OID ::= { speachPattern(13) }
vein-Pattern       RELATIVE-OID ::= { veinPattern(14) }

biometric  OBJECT IDENTIFIER ::= { x9-84 biometrics(1) }

-- Parameterized types and algorithm information object sets --

SIGNED { ToBeSigned } ::= SEQUENCE {
  toBeSigned  ToBeSigned,
  algorithm   AlgorithmIdentifier{{SignatureAlgorithms}},
  signature   BIT STRING
}

SignatureAlgorithms ALGORITHM ::= {
  ...  -- any X9 approved signature algorithm --
}

MACED { ToBeMACed } ::= SEQUENCE {
  toBeMACed  ToBeMACed,
  algorithm  AlgorithmIdentifier{{MACAlgorithms}},
  mac        OCTET STRING
}

MACAlgorithms ALGORITHM ::= {
  ...  -- any X9 approved MAC or HMAC algorithm --
}



EncryptedData ::= SEQUENCE {}
```

```
EncryptionAlgorithms ALGORITHM ::= {
  ...  -- any X9 approved encryption algorithm --
}

AlgorithmIdentifier { ALGORITHM:IOSet } ::= SEQUENCE {
  algorithm   ALGORITHM.&id( {IOSet} ),
  parameters  ALGORITHM.&Type( {IOSet}{@algorithm} )  OPTIONAL
}

-- Algorithm information object class --

ALGORITHM ::= CLASS {
  &id    OBJECT IDENTIFIER  UNIQUE,
  &Type  OPTIONAL
}
  WITH SYNTAX { OID &id [PARMS &Type] }

END  -- X9-84-Biometrics --
```

APPENDIX B: An ASN.1 Example

B. Hexadecimal representation of a CBEFF ASN.1 encoded data object

TBD.

APPENDIX C: The BIOAPI Structure; A Biometric Specific Memory Block example

C. Introduction - Data structure proposed for the Common Biometric Exchange File

The following is for illustrative purposes only, refer to the BIOAPI documentation when they are available.

This data structure is one that has been used in many fields involving data exchange; a single, technology-neutral header followed by a technology-specific data block. (It has been included in this proposal with the understanding that this is only an example of how the file format to be developed under this effort might look like. It was included to encourage further discussions on the content of the required format.)

C.1 Data Structure Defined in the BioAPI Specification Version 0.1

Note:
The BioAPI Steering Committee has released the data structure specified in BioAPI Specification Version 0.3 as a contribution to the Common Biometric Exchange File Format effort. BioAPI Consortium members can participate in the development of the Common Biometric Exchange File Format.

The data structures herein defined have been designed to be as flexible as possible, allowing the biometric vendor to store whatever information is needed, without unnecessary constraints. For example, the biometric data structures may contain a single biometric sample or may contain multiple samples. In order to support a wide range of process flow possibilities and biometric templates (models), these structures can be used to store any combination of data necessary to facilitate subsequent matching. It is the responsibility of the biometric technology provider (BSP) to fill this data structure with the data needed and in the format needed, and to be able to extract this data when it is needed.

C.1.1 Biometric Record Header

This BioAPI data structures standardize the header information preceding biometric data records to minimally and uniquely identify the content as well as to distinguish it from other, non-biometric data records. They are currently defined as follows:

```
typedef struct bioapi_bir {
        BioAPI_BIR_HEADER  Header;
        BioAPI_BIR_BIOMETIC_DATA  BiometricData;
} BioAPI_BIR, *BioAPI_BIR_PTR;
```

```
typedef struct bioapi_bir_header {
        BioAPI_BIR_TYPE Type;
        BioAPI_BIR_SUBTYPE Subtype;
        BioAPI_BIR_DATATYPE Datatype;
        BioAPI_BIR_PURPOSE Purpose;
        BioAPI_VERSION HeaderVersion;
        BioAPI_BIR_QUALITY Quality;
        BioAPI_BIR_BIOMETIC_DATA_FORMAT  Format;
        uint32 Length;
} BioAPI_BIR_HEADER, *BioAPI_BIR_HEADER_PTR;

typedef struct bioapi_biometric_data_format {
        uint16 FormatOwner;
        uint16 FormatType;
} BioAPI_BIOMETRIC_DATA_FORMAT, *BioAPI_BIOMETRIC_DATA_FORMAT_PTR;

typedef struct bioapi_data{
   uint32 Length;  /* in bytes */
   uint8 *Data;
} BioAPI_DATA, *BioAPI_DATA_PTR
```

C.2 BioAPI to CBEFF translation

The following table outlines the similarities between the CBEFF fields and the BioAPI BIR header inforamtion;

CBEFF Field Name	Bio API BIR field	Notes
SBH	N/A	BioAPI internally signs data.
Header Version	HeaderVersion	
N/A	Type	CBEFF is restricted to a Biometric Type. The other BioAPI types do NOT apply to the CBEFF.
Record Type	Subtype	
Record Data Type	Datatype	
Record Purpose	Purpose	
Record Quality	Quality	
Creation Date	N/A	Not Used by the BioAPI
Biometric Bag	N/A	
Format Owner	FormatOwner	
Format Type	FormatType	
BSMB	Bioapi_data	
Signature	N/A	

The BioAPI has agreed to implement a function in the API that translates between format B (the ASN.1 syntax) of the CBEFF and the BioAPI BIR. The intent is to use Format B for exchanging data over networks and the BIR for local storage. Note that the (optional) signature appended to the CBEFF will be destroyed and the BioAPI will create a new signature for the BIR. Storing the CBEFF format B will be a system function, if it needed.

APPENDIX D: The X9.84 Structure; A Second Biometric Specific Memory Block example

D. The X.984 Structure

D.1 Introduction

The following is for illustrative purposes only, refer to the X9.84 standards, when they are available.

X9.84 is the standards committee chartered to define Biometric Information Management and Security. The BSMB defined in Appendix D is meant to illustrate a possible definition for the Biometric data that will help meet their security and standards related requirements.

X9.84 has the requirement to use ASN.1 syntax to describe all information. Some processing information may need to accompany the Biometric data in order to process the data correctly. The following data structure is to be used as the BSMB when encoding or decoding a CBEFF object which compatible with the X984 specification:

BSMB ::= OCTET STRING (SIZE(1..MAX)).

The BiometricData is the Raw Biometric Template and the BiometricInfo is defined in the following section.

D.1.1 Optional Biometric Information

The need to identify this process is negligible from the Biometric Objects point of view, unless the process creating the livescan sample to compare against the certificate requires some customizing in regard to the individual who is being sampled. The following definition contains the information for such processing.

```
BiometricInfo ::= SEQUENCE SIZE(1..MAX) OF BioInformation

BioInformation ::= SEQUENCE {
                        processingInfo  [0] ProcessingInfo  OPTIONAL,
                        matchingInfo    [1] MatchingInfo
                    }

-- biometric processing algorithms

-- The biometric processing information type specifies the
-- processing algorithm used to create a given biometric
-- template and any associated process specific parameters.
```

D.1.1.1 Processing Information

Biometric processing is the function which takes a biometric sample (typically a video image or an audio sample), extracts information from the sample (such as a location of the minutia in the fingerprint), and creates a output file (typically called a biometric template). The processing information field would be used to provide processing algorithm specific information which may be used to personalize the process for the individual. The algorithm used to create the biometric template is specified by the processingAlgorithmID. ProcessingAIDs is used to provide process specific parameters.

```
ProcessingInfo ::= SEQUENCE SIZE(1..MAX) OF ProcessingInformation

ProcessingInformation ::= SEQUENCE {
                            id    BIOMETRIC.&name({ProcessingAIDs}),
                            parms BIOMETRIC.&Type({ProcessingAIDs}{@id}) OPTIONAL
                          }
```

```
ProcessingAIDs BIOMETRIC ::= { ... }


-- The "processing" object identifier is the base identifier
-- or root of a tree of biometric processing algorithms. It
-- may also identify a default algorithm in contexts where
-- interoperability is not required, or when it is necessary
-- to identify biometric processing algorithms in general.

processing OBJECT IDENTIFIER ::= { x9-84 algorithms(2) }
```

Examples of processing parameters may be:

> Minimal Acceptable Quality: A minimum quality that the sample must have to be accepted for further processing (useful if the particular biometric can obtain preliminary quality ratings on a sample). This may relieve the need for users with poor biometric characteristics (such as a scarred finger) to reenter a biometric sample several times for verification.
>
> Number of Samples: The number of samples that should be taken of the user which meet the MinimumAcceptableQuality threshold. This will also help users with poor biometric characteristics to avoid reentering a biometric sample several times.

D.1.2 Matching Information

Biometric matching is the function (algorithm) which takes two biometric templates and compares them for similarities. The output of the matching function is typically a matching score representing the amount of similarity found between the two templates.

The biometric templates are generally designed to work with a specific biometric matching algorithm. The application can reference the ID of the MatchingInfo in this field to determine compatibility.

```
MatchingInfo ::= SEQUENCE SIZE(1..MAX) OF MatchingInformation

MatchingInformation ::= SEQUENCE {
                                    id     BIOMETRIC.&name({MatchingAIDs}),
                                    parms  BIOMETRIC.&Type({MatchingAIDs}{@id}) OPTIONAL
                                  }

MatchingAIDs BIOMETRIC ::= { ... }


-- The matching method object identifier is the base
-- identifier or root of a tree of biometric matching functions
-- (algorithms). It may also identify a default algorithm in
-- contexts where interoperability is not required, or when it
-- is necessary to identify matching functions (algorithms) in
-- general.

matching OBJECT IDENTIFIER ::= { x9-84 methods(3) }
```

Examples of Matching parameters may be:

Matching Algorithm: A Relative OID which specifies the Algorothm to be used for matching the processed image against a template.

Individual threshold: The minimum matching score required for the user. This may be a useful parameter for those users in which the particular biometric technology has a problem with verification.

D.2 Registering Biometric Processes

If this is the case, then the individual process creating the template needs to be registered by a recognized standards body. The International Biometric Industry Association (IBIA) has agreed to be the organization which will manage the registration, issuance, and archiving of the OBJECT IDENTIFIERs and relative OBJECT IDENTIFIERs for Organizations and Vendors which require them.

D.2.1 Biometric Processing or Matching Parameters

As stated above, biometric processes only needs to be registered if there are associated parameters that need to be sent. The individual processing parameters do not have to be registered as long as they are defined and maintained by the organization which registered the process. The processing parameters are associated with that particular OBJECT IDENTIFIER.

The application would be responsible for determining compatible versions. If the versions are incompatible, then the processing information may have to be rejected, and therefore the authentication process would have to fail.

Such parameters should and could be standardized upon to reduce the overhead for systems that want to incorporate multiple biometric devices. This is likely to happen in the future as biometric technology matures, and could lead to accepted standard processing algorithms and matching methods being registered under X9.84 object identifiers for the industry by the IBIA.

Appendix E AN Example of embedding a CBEFF object:

E. The X.509 AuthenticationInfo Attribute certificate

E.1 Certificate Background

This section has been appended as an example of how the CBEFF can be used to place Biometric Data within an Attribute certificate. It is widely believed that many systems will, in the future, use X.509 certificates to hold biometric templates, therefore this may be an appropriate example.

E.1.1 Attribute Certificates

Attribute certificates are used to convey a set of attributes along with a public key certificate identifier (i.e. a serial number and a public key certificate issuer name) or entity name. The attributes are placed in a separate structure to maintain conformance with existing international standards (X.509). An entity may have multiple attribute certificates associated with each of its public keys certificates.

X9.57, originated by the American Bankers Association (ABA) and adopted by ANSI, also defines an attribute certificate which is complimentary to the X.509 certificate. ISO/IWD-15782-2 also describes the attribute certificate, with added details for banking applications.

There is no requirement that the same authority create both the public key certificate and the attribute certificate; in fact, role separation should frequently dictates otherwise. The generation of an attribute certificate may be requested by an entity other than the subject of the attribute certificate. The X9.57 specification does not define the messages between an entity and the attribute authority (AA) dealing with the generation of the attribute certificate.

X9.57 defines an attribute as information, excluding the public key, which is provided by an entity or an AA and certified by the AA in an attribute certificate. Attributes are bound to a public key certificate or entity name by the signature of the AA on the attribute certificate.

The information contained in the attribute certificate is as follows:

Table B.2 - X9.57 Attribute Certificate Fields

Field	Description
Version	This identifies the version of the attribute certificate.
serial Number	This field uniquely identifies this certificate among all those issued by the AA. (if the AA is also a CA, the serial number space is thus shared by the public key certificates and the attribute certificates.)
owner	An attribute certificate may be linked to either a particular entity, or one of that entity's public key certificates. The mechanism to be used is specified by the application or standard which uses the attribute certificate.
IssuerName	This field contains the name of the issuer of the attribute certificate (an AA).
Issuer Unique Identifier	This field uniquely identifies the issuer, in the case where the issuer name is not sufficient.

Validity	This specifies when a certificate is valid. The period is described by a start date and time and an end date and time as follows: notBefore: The start time that the certificate is valid. notAfter: The end time that the certificate is valid.
Attributes	The attributes are information concerning the entity, or the certification process. They may be supplied by either the entity, a third party entity or the AA depending upon the application.
extension(s)	The extensions field allows addition of new fields to the attribute certificate without modification of the ASN.1 definition.
SignatureAlgorithm	This field identifies the algorithm used to sign the certificate.
Signature	The signature field consists of: The output of the signing function (i.e. the signed hash value of the data in this certificate). This data is used to verify the data in the certificate.

The AttributeCertificate matching rule was created to allow more complex matching than the certificateExactMatch (a matching rule defined in X.509). It allows comparison to the issuer's serialNumber, the owner, the issuerName, and the validity. Refer to X.509 for further information on the matching rules.

E.1.1.1 Attribute Certificate Advantages/Disadvantages

Attribute certificates are essentially X.509 certificates without public key information (alternatively one can perceive them as extended certificates without the X.509 certificate embedded into them.) They are intended to compliment the X.509 certificate with additional information about the user (subject). This would give the same advantages and disadvantages as the PKCS#6 certificate with the additional benefits and disadvantages listed below:

Advantages:

- Mutual verification, via a challenge response, can be performed between the holder of the attribute certificate and the user authenticator prior to sending the attribute information.
- The attribute information can be encrypted, providing access to the confidential information to verified authenticators only.
- Information can be separated into as many attribute certificates as needed by the system. This may be useful in meeting the "need to know" requirement of many systems.
- Anonymity can be accommodated if the Distinguished Name (DN) of the user's X.509 certificate is a reference, not an actual identity (i.e. a user number, database lookup, etc.). The DN can be used to match attribute certificates with X.509 certificates.
- Attribute certificates are becoming standardized (as with X.509).

Disadvantages:

- Introducing multiple attribute authorities into the system architecture makes the system more complex. Key management issues may be prevalent.

- User authentication processing time may be an issue if two signatures must be verified, and the attribute certificate needs to be decrypted.

E.1.2 X.509 Attributes

X.509 imports the attribute definition from X.501.

The X.501 defined attribute (that is AttributeTypeandValue) is as follows:

AttributeTypeandValue ::= SEQUENCE

type ATTRIBUTE.&id ({SupportedAttributes});

value ATTRIBUTE.&Type({SupportedAttributes}{@type})}

All attributes are assigned an identifier using an object type of id-at. Any registered attribute, assigned a unique identifier by an ISO recognized standards body, can be used. X.520 is a source for ISO defined attributes; however, many other standards body have registered attributes which may used.

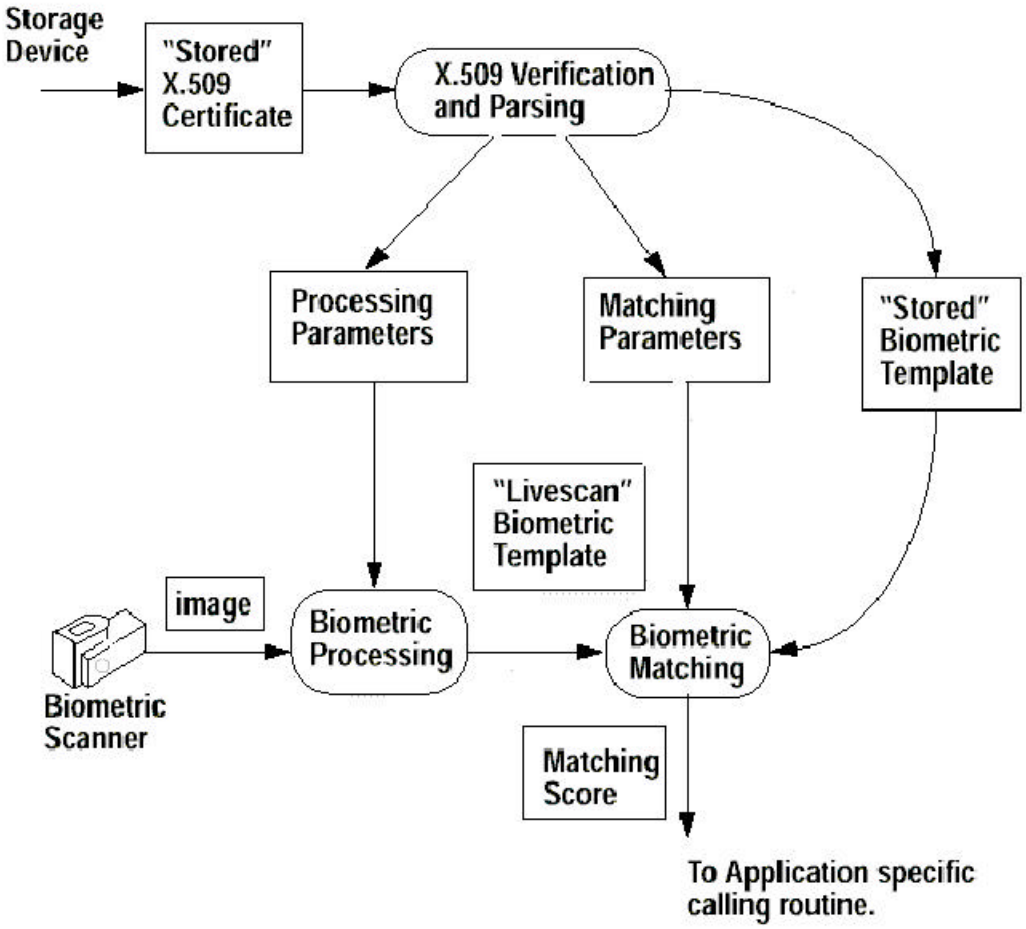
The CBEFF Object (the SBH) , as defined in this specification, can be used as an Attribute.The Biometric information can be placed in the CBEFF Object. The CBEFF Object can then be placed within the Attribute Certificate as detailed in the following sections. The X984 BSMB defintion will be used. The OID (From x9.84) is defined as follows:

X9-84-Biometrics {
iso(1) identified-organization(3) tc68(133) country(16) x9(840)
x9Standards(9) x9-84(84) module(0) biometrics(1) }

E.2 An Example based upon the X9.84 BSMB definition.

The following diagram illustrates how the biometric processing and matching parameters would be utilized during a biometric verification process:

Figure D.1: Using an X.509 Certificate with Detailed Biometric Information



E.2.1 User Verification

The certificate used to store the biometric information would be transferred to the entity performing the verification (from a database, smartcard, disk, etc.). The entity would verify the signature on the X.509 certificate to detect alteration and to prove the validity of the biometric template. The CBEFF object (The SBH) is a certifcate and can be extracted from the certificate. The SBH is DER decoded using a commercial encode/decode engine. The Biomtric template and each of the processing/matching paremeters can be extracted from the data returned from the engine.

The processing parameters are fed to the biometric processing function which converts the livescan image to a livescan biometric template. The livescan biometric template, the biometric template from the X.509 certificate and the matching algorithm parameters from the X.509 certificate are fed into the matching algorithm for verification of the user. The result of that operation should indicate the authenticity of the claimed identity of the user.

E.3 ASN.1 Authentication Attribute Certificate definition

The attribute certificate that holds the authentication information attribute is described in ASN.1 as follows [ISO/IEC 9594-8:1997]:

```
AttributeCertificate ::= SIGNED {AttributeCertificateInfo}

AttributeCertificateInfo ::= SEQUENCE {
        version   Version DEFAULT v1,
        subject   CHOICE {
        baseCertificateID[0]      IssuerSerial, -- associated with a Public Key Certificate
                subjectName[1]GeneralNames },  -- associated with a name
        issuer                    GeneralNames, -- CA issuing the attribute certificate
        signature                 AlgorithmIdentifier,
        serialNumber              CertificateSerialNumber,
        attrCertValidityPeriod    AttCertValidityPeriod,
        standardBiometic          SBH,
        issuerUniqueID            UniqueIdentifier OPTIONAL,
        extensions                Extensions OPTIONAL}

IssuerSerial  ::= SEQUENCE {
        issuer          GeneralNames,
        serial                  CertificateSerialNumber,
        issuerUID               UniqueIdentifier OPTIONAL}


AttCertValidityPeriod ::= SEQUENCE {

        notBeforeTime   GeneralizedTime,
        notAfterTime    GeneralizedTime }
```

E.4 Approximate Certificate Data Size

An approximation of data sizes can be made on the following assumptions.

- The size of the signature and public key info is set at 512 bits (64 octets where 1octet = 1 byte).
- No extensions are used.
- Distinguished Encoding Rules (DER) is utilized by the CA signature certificates and user certificate.

Table B.6 - Contents of Attribute Cert - Identification & Authentication Cert

Item	item size	# of items	Total Size
Version	**5 octets**	**1**	**5 octets**
Owner (baseCertificateID)	**8 octets**	**1**	**8 octets**
issuer (AA)	**183 octets**	**1**	**183 octets**
signature	**9 octets**	**1**	**9 octets**
serialNumber	**6 octets**	**1**	**6 octets**
validity	**32 octets**	**1**	**32 octets**
AuthenticationInfo -biometricInfo	**500 octets**	**1**	**500 octets**
IssuerUniqueID (Token Serial #)	**16 octets**	**1**	**16 octets**
AlgorithmIdentifier	**9 octets**	**1**	**9 octets**
signatureValue	**70 octets**	**1**	**70 octets**
Total			**838 octets**

If additional fields are added (such as extensions) simply add the length of the new field to the total.